



## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

	Application No.	10/734,928	
	Filing Date	December 12, 2003	
	First Named Inventor	Alexander Kalnitsky	
	Art Unit	2814	
	Examiner Name	Unassigned	
Total Number of Pages in This Submission	8	Attorney Docket Number	55123P231D

### ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input checked="" type="checkbox"/> PTO/SB/08  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/Incomplete Application  <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; height: 80px; width: 100%;"></div>
Remarks		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	William E. Alford, Reg. No. 37,764 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	April 14, 2004

### CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Typed or printed name	Susan McFarlane		
Signature		Date	April 14, 2004



# FEE TRANSMITTAL for FY 2004

Effective 10/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$) 0.00

## Complete if Known

Application Number 10/734,928  
Filing Date December 12, 2003  
First Named Inventor Alexander Kalnitsky  
Examiner Name Unassigned  
Art Unit 2814  
Attorney Docket No. 55123P231D

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None  
☒ Deposit Account

Deposit Account Number 02-2666  
Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) or underpayment of fees as required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.  
☒ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$)

### 2. EXTRA CLAIM FEES

Total Claims 15 - 20\* = 0 x 18.00 = \$0.00  
Independent Claims 3 - 3\* = 0 x 86.00 = \$0.00  
Multiple Dependent

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple Dependent claim, if not paid	
1204	86	2204	43	**Reissue independent claims over original patent	
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$) 0.00

\*or number previously paid, if greater, For Reissues, see below

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
2053	130	2053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	1,210	2255	605	Extension for reply within fifth month	
1404	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	2460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	1809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify)					
* Reduced by Basic Filing Fee Paid					
SUBTOTAL (3)					(\$)

## SUBMITTED BY

Name (Print/Type) William E. Alford  
Signature

Registration No. 37,764  
(Attorney/Agent)

## Complete (if applicable)

Telephone (714) 557-3800  
Date 04/14/04



Our Docket No.: 55123P231D

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

**Alexander Kalnitsky, et al.**

Application No.: 10/734,928

Filed: December 12, 2003

For: **SELF-ALIGNED NPN  
TRANSISTOR WITH SELF  
RAISED EXTRINSIC BASE**

Examiner: Unassigned

Art Group: 2814

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. §1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In accordance with their duty of disclosure, enclosed is a copy of IDS Citation Form PTO/SB08 or PTO-1449, together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed for applications filed after June 30, 2003). All of the Other Publications references listed on the enclosed PTO/SB/08 were previously identified in the parent application (Application No. 10/119,594, filed April 9, 2002) and copies of the references were supplied at that time. Accordingly, per 37 CFR § 1.98(d)(1) additional copies of those references are not submitted herewith.

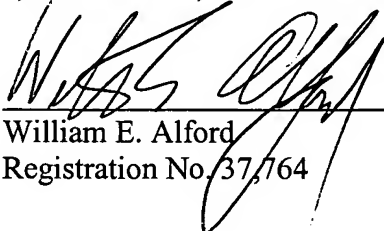
This IDS and IDS Citation Form are being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN, LLP

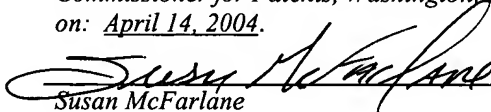
Dated: April 14, 2004

  
\_\_\_\_\_  
William E. Alford  
Registration No. 37,764

12400 Wilshire Boulevard, Seventh Floor  
Los Angeles, California 90025  
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**CERTIFICATE OF MAILING**

*I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: April 14, 2004.*

  
\_\_\_\_\_  
Susan McFarlane  
Date 4/14/04

Substitute for form 1449A/PTO

# ~~INFORMATION DISCLOSURE~~ STATEMENT BY APPLICANT

*(use as many sheets as necessary)*

Sheet

1

of

3

**Complete if Known**

Application Number	10/734,928
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Filing Date	December 12, 2003
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First Named Inventor	Alexander Kalnitsky
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Art Unit	2814
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Examiner Name	Unassigned
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Attorney Docket Number	55123P231D
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## U.S. PATENT DOCUMENTS

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date or Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US-4,157,269	06-05-1979	Ning, et al.	
		US-4,871,684	10-03-1989	Glang, et al.	
		US-4,879,255	11-07-1989	Deguchi, et al.	
		US-4,890,738	12-25-1990	Welch, et al.	
		US-5,061,652	10-29-1991	Bendernagel, et al.	
		US-5,117,271	05-25-1992	Comfort, et al.	
		US-5,159,429	10-27-1992	Bendernagel, et al.	
		US-5,244,821	09-14-1993	Ham, et al.	
		US-5,320,972	06-14-1994	Wylie	
		US-5,340,753	08-23-1994	Bassous, et al.	
		US-5,516,708	05-14-1996	Li, et al.	
		US-5,516,710	05-14-1996	Boyd, et al.	
		US-5,599,723	02-04-1997	Sato	
		US-5,773,350	06-30-1998	Herbert, et al.	
		US-5,804,486	09-08-1998	Zambrano, et al.	
		US-5,930,635	07-27-1999	Bashir, et al.	
		US-6,153,488	11-28-2000	Yoshino	
		US-6,180,442 B1	01-30-2001	Gris	
		US-6,190,984 B1	02-20-2001	Ryum, et al.	
		US-6,218,711	04-17-2001	Yu	

## FOREIGN PATENT DOCUMENTS

[illegible]Examiner  
Signature

Date	
Considered	

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Based on PTO/SB/08A (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wlr) 08/11/2003.

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[illegible]

Based on PTO/SB/08B (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wlr) 08/11/2003.  
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